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AUTHOR	Ross, Harvey L.
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ABSTRACT

This study reports an attempt to provide research consultation to the staff of an operating manpower project in order to help them initiate and carry out utilization-related activities and, as a by-product of the consultation effort, to add to knowledge about research utilization and suggest ways of helping funding agencies improve their capability to promote the use of promising project findings. Section I of this report is an introduction to the study. Sections II-IV present the findings, conclusions, and recommendations that developed from the analysis of information about the experience. Section V presents an account of the relationship between the consultants and the project, Transitional Experimental Employment Model (TEEM). Half the document is appendixes containing correspondence and supplementary information on the consultant-project relationship. (HD)

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DESIGNING A DEMONSTRATION PROJECT TO FACILITATE THE UTILIZATION OF ITS RESULTS

Harvey L. Ross, PhD
Human Interaction Research Institute
Los Angeles, California 90024

November 1974

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SUMMARY

This study reports an attempt to provide research consultation to the staff of an operating manpower project in order to help them initiate and carry out utilization-related activities and, as a by-product of the consultation effort, to add to knowledge about research utilization and suggest ways of helping funding agencies improve their capability to promote the use of promising project findings.

Although a fruitful relationship with the project staff was not maintained, learnings and recommendations pertaining to research methodology include the following:

a. Provisions for money and staff for utilization activities should be incorporated in the project budget, and staff roles clearly delineated; otherwise, staff resistance will develop if utilization activities are perceived as a later (additional) burden thrust upon those already busy with other responsibilities.

b. If a project lacks internal expertise in documentation/evaluation--which is the basis of determining what constitutes utilizable materials--the early help of a resource person may be needed.

c. All involved in the project should concur on objectives, and the planning/coordination to achieve them.

d. Problems and issues that arise should be dealt with promptly. Both the problems and the methods for resolving them should be documented as an aid to future users in other settings.

e. The involvement of program operating personnel in the planning of utilization activities appears desirable, followed by periodically obtaining their reactions to the process. A mutually involved relationship between the research component and the program component would seem more effective and efficient than to have both working in relative isolation from one another.

To facilitate utilization of promising findings, the writer proposes that a open systems approach, based on an action research model, be applied to demonstration projects. This type of model provides for maintaining close interrelatedness with project components, maximizing responsiveness of the project to its environment (including potential users), and allowing some experimentation in order to improve methods as the project progresses.

If project directors desired help in planning and maintaining systemic relationships from the project's inception through utilization, a project utilization consultant--or someone in that role, whether project-connected or a private contractor--could provide that help. His responsibilities might include: (a) identifying user audiences, (b) bringing user representatives into the planning and working relationship, (c) pinpointing areas in which funding agency, project officer, and potential users have similar interests, and directing the attention of these parties to activities that promote those interests. Such activities might range from establishing guidelines for an information and record-keeping system to helping develop a final report that meets the project's needs as well as target audiences' needs for utilizable materials.

The report concludes with an account of the working relationship with the project staff during the consultation period, the difficulties that arose because of different agenda and thus different priorities as perceived by each staff, and the learnings derived from attempts to improve the consulting effort.

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I. INTRODUCTION

The purpose of this report is to present what we have learned about facilitating research utilization in the course of providing research consultation to operating E&D and R&D projects. The Human Interaction Research Institute (HIRI) has provided such consultation in the course of a grant from ORD: during project year one to the Research Utilization Network (RUN) in DOL Region IV, to the Career Opportunities Development (COD) program of the California State Personnel Board, and to its subsidiary, ORD-funded project the Transitional Experimental Employment Model (TEEM); during project year two, consultation was provided only to TEEM. This report primarily is derived from our experience with TEEM during that year.

During project year two, HIRI was guided by the following interrelated objectives, set forth by the Utilization Section of ORD.

a. Providing utilization consultation to TEEM

b. Adding to knowledge about research utilization

c. Helping ORD improve its capability to promote the utilization of the findings of its projects

HIRI's consultation relationship with TEEM was intended to help that project initiate and carry out utilization-related activities. Insights that helped HIRI attain objectives b and c were by-products of the relationship with TEEM.

The history of our relationship with TEEM--in particular, the nature of the ultimately unresolvable conflicts that emerged during that relationship--illuminates issues that generally are important for research utilization methodology. Even though we did not succeed in maintaining a fruitful working relationship, we have been able to learn about important considerations associated with that outcome. These issues have implications for action on the part of ORD.

The conflicts likely were inevitable because they arose from the consequences of differences between our respective mandates, at least as each staff interpreted them. We believe that each interpretation was legitimate in its own context. The report is frank in describing the conflicts between HIRI and TEEM. The reader should be clear, however, that we do not mean to attribute blame or bad faith.

This report <u>first</u> (Sections II-IV) presents the findings, conclusions and recommendations that developed from the analysis of information about our

experience; second (in Section V), the report presents an account of our relationship with TEEM, to help the reader understand the events from which the findings developed. This account outlines our objectives and plans, our attempts to implement the plans, and the outcomes of those efforts.

II. FINDINGS

The following findings are derived from HIRI's efforts to provide utilization consultation to TEEM, during the period January-November 1973. HIRI's consultants (Drs. Harvey Ross and Jack O'Toole) were invited by TEEM to help them develop a documentation system that would serve both the project's own reporting needs and its obligation to produce materials for the ultimate users of the project's findings. Although the HIRI consultants and TEEM management agreed about this objective, their efforts to achieve it foundered. TEEM wanted HIRI to accept responsibility for developing the documentation system, involving TEEM's operational staff only minimally. In TEEM's view, their staff time should be committed to programmatic priorities, not research activities. HIRI viewed its role as basically consultative: The consultants could help TEEM develop its documentation system, but could not accept sole responsibility for that task; a useful documentation system would require a collaborative working relationship between TEEM and HIRI.

The findings, then, are consequences of the inability of both TEEM and the utilization consultants to resolve inconsistencies and conflicts in priorities (both within the project staff and between the project and the consultants) and to integrate and direct their efforts toward the (utilization) goals of demonstration.

The salient findings generated in the course of the HIRI consultants' involvement with TEEM are presented below.

1. The utilization consultants became involved in helping TEEM design its documentation system because TEEM lacked sufficient resources to do so. Although the TEEM project had a number of staff members who were well experienced in manpower programs, only one staff member had had any experience with the design of documentation systems--and that experience appears to have been rather superficial.

   Discussion: Left to their own devices, projects without special internal expertise in the areas of documentation and evaluation often produce materials that are of doubtful value to potential users. Utilization efforts that begin only after a project has produced inadequate materials--usually as its final report to ORD--may be

able to do little to remedy the situation*; without adequate materials to work with, the most skilled utilization consultant using the most sophisticated utilization strategy cannot hope to have much impact on his target audiences. If the TEEM experience is typical, many E&D manpower projects may need the early help of outside resource persons to produce utilizable material.

2. The consultants first had contact with TEEM about six months after the TEEM project came into existence. The consultants were by that time unable to integrate their priorities and activities with those of the TEEM staff. TEEM staff members had already committed themselves to program objectives and were relatively unconcerned with utilization objectives. Therefore, the consultants' initiatives to engage in a mutual effort to develop a user-oriented information system were perceived (by some TEEM staff members) as a burdensome encroachment--as "trying to get TEEM to do HIRI's work." TEEM ultimately isolated the consultants from the project so that they could not effectively carry out utilization-related activities.

   Discussion: The TEEM project design made many demands on staff time and energy. The TEEM staff had great difficulty doing all of the work that was directly related to program operations. When the utilization consultants appeared on the scene, the project already was behind its timetable. Small wonder that the activities proposed by the consultants should have been seen as burdensome! It clearly was too late to introduce utilization-related activities--at least without the addition of new staff members and redefinition of staff responsibility to include those activities. Even then, the staff might not have been able to accept that redefinition of their jobs (for reasons discussed in #3, below).

3. As HIRI's involvement with TEEM progressed, it became increasingly evident that the TEEM project staff, project management, HIRI's utilization consultants and the project monitor had differing and sometimes conflicting concerns, priorities and objectives.

   a. The priorities of TEEM project staff were related primarily to the success of clients in the project. They brought the

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*COD was able to create utilizable materials after the end of its project--but only after expending a considerable amount of additional effort and money.

perspective of experienced manpower personnel to this demonstration project--in effect, a concern for clients almost to the exclusion of any other consideration. Even though the TEEM design assigned staff no direct responsibilities for clients (those responsibilities were assumed by the staff of participating agencies), indeed, even though their direct involvement with clients was inimical to the demonstration goals of the project, the staff became so concerned about the fate of individual clients that the TEEM project director ultimately forbade their receiving phone calls from clients in the office.

Although the TEEM staff thought of itself as staffing a demonstration project, they seemed to define project success in terms of client success: placing 100 disadvantaged clients. The design of the TEEM project made it necessary for the staff to collect information about clients and to document significant events; however, they apparently neither understood nor were willing to perform those tasks. They saw little value in documenting circumstances related to clients' success and failure --that is, in describing how TEEM worked in order (ultimately) to help others learn to use the TEEM model. In fact, as late as October 1973, TEEM staff members were still unable to explain fully or to prepare a commonly agreed-upon statement describing what they were trying to demonstrate with the TEEM project and in what respects the project was experimental.*

b. Because of untoward delays in the TEEM project getting underway (the causes of which were beyond the control of the TEEM project director), the project monitor became concerned about TEEM's passing its designated milestones according to the

* Somewhat parenthetically, TEEM also provided a special opportunity to study the reactions of line staff members of regular state agencies that were participating in the demonstration. The TEEM model required that such staffs provide more individualized services and keep more records than they ordinarily were expected to do for their regular clients. Typically (according to TEEM staff members), agency staff members were reluctant to do so because their operating agencies provided incentives for placing clients but not for providing individualized services or for record keeping. TEEM staff members characterized the employees of state agencies as antagonistic or cynical regarding evaluation and research. According to the TEEM staff, agency personnel did not take the research seriously.

plan in its grant (indicated, for example, by the number of TEEM clients enrolled; the number of participating agencies with which TEEM had succeeded in making interagency contractual agreements; progress in developing the cost accounting system proposed in the grant, etc.) and pressed the project director to move ahead.

c. The utilization consultants' objective was to help TEEM produce adequate documentation, because the ultimate production of utilizable products depended upon such documentation (to identify what worked and what didn't; the issues and considerations that potential users should ponder in deciding whether and how to implement TEEM; how TEEM could and could not benefit clients and at what cost, etc.)

The TEEM project director ultimately had to determine TEEM's response to these different pressures. Although initially she intended to fulfill documentation requirements, when resistance of her staff to documentation was added to pressures from the project monitor to get on with the project, she compromised that intention by allocating almost all project resources to programmatic (service delivery) activities. Indeed, were it not for delays in funding, trainees would have been placed in participating agencies well before an adequate documentation system could be devised.

Discussion: When projects evolve so that directors are forced to choose between program priorities (getting x clients on board or y clients placed) and fulfilling documentation requirements, they generally appear to abandon the latter in favor of the former.* Given the pressures on her, the TEEM project director's resolution of this conflict is understandable; if there is no program there can be no demonstration, The goals of demonstration, however, require that both activities take place. Without adequate documentation, a demonstration project becomes a short-lived, miniature manpower program, the goal of which is to provide a manpower service.

4. The TEEM project staff was organized so that one staff group was responsible for program activities (service delivery) and another quite separate staff was responsible for "research." ** The research staff was responsible for preparing a plan to document and evaluate

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* J. A. Jones, Breakthrough for disadvantaged youth. Washington, D.C.: U.S. Government Printing Office, 1969, pp. 235-250.

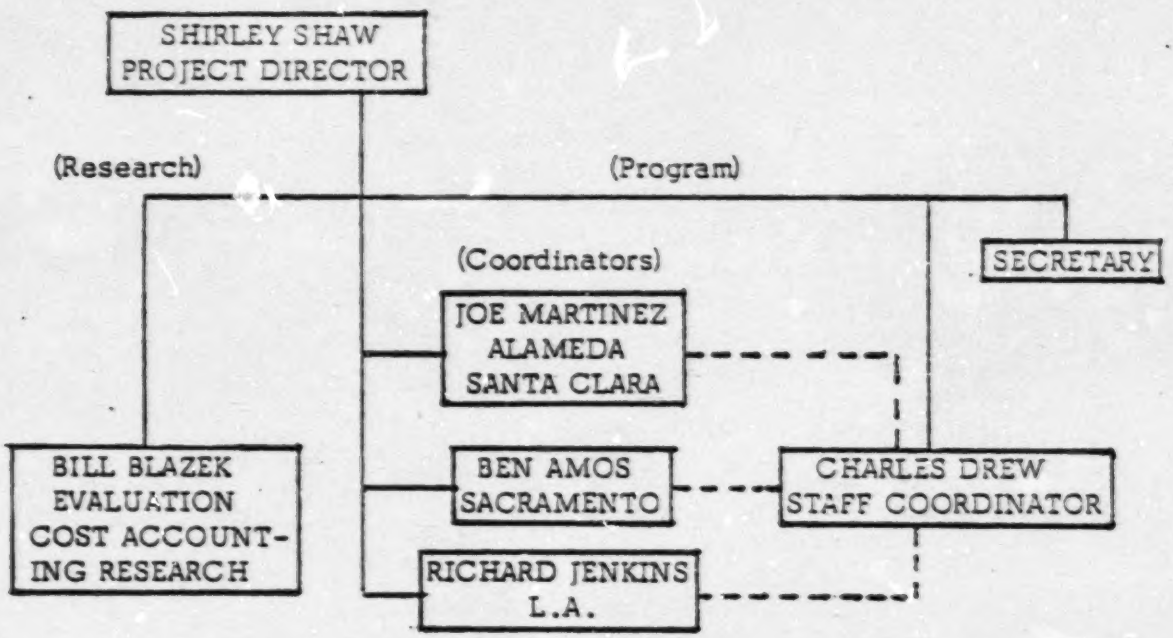
** We use "research" in its broadest sense, to include all activities related to information collection, analysis, evaluation, documentation, etc.

the TEEM project. The program staff was responsible for the coordination of the implementation of the TEEM concept by participating agencies. This staff also had responsibility for using information-collecting formats developed by the research staff to collect data about the program and the students in the field when the project became operational. In practice, this division of responsibilities did not work out well; program staff proved reluctant to collect information.

Discussion: Review of the organization of the TEEM project staff sheds some light on this outcome.

The diagram* illustrates how TEEM split its research and program components into two parts. The research component (assigned the main responsibility for documentation) had no functional or line relationship to the program component. In effect, they worked in relative isolation from one another.

TEEM PROJECT ORGANIZATION



This chart shows both administrative (—) and functional (- - -) relationships of the TEEM staff.

* From a TEEM project memorandum, August 10, 1973. Parenthetic designations added by this author.

The operating personnel (coordinators) were not involved in the planning of the documentation system. They were not asked to contribute to its contents or to react to the schedule of implementation or to the amount of work it would entail. Their job was principally defined in terms of operational duties and responsibilities and only secondarily in terms of responsibilities for documentation. They met only rarely with HIRI and only somewhat less rarely with Bill Blazek, who had responsibility for the design of project documentation.

Thus, regardless of the statements of the project director (from the beginning of the project) about the importance of documentation, the project's organization implied that the coordinators need not take seriously their responsibility for documentation. Organizationally, there was no functional link between them and the person responsible for documentation, and they were not accountable to him in any way. Even when the TEEM project director put pressure on the coordinators to collect information and document their activities, they did so very begrudgingly.

III. CONCLUSIONS

Applied social science research projects frequently encounter conflicts in priorities.* In manpower R&D projects, conflict between those responsible for program implementation and researchers is the rule rather than the exception.** Although a fair amount of organizational experimentation has been done to minimize such conflict so that those with research responsibilities can achieve their objectives--in some instances, by maximizing the separation between program and research components; in others, by combining those functions in the same staff--no universally applicable paradigm has yet been developed. Each project needs to organize itself so that these two functions have the most appropriate relationship for that particular project, that staff and the objectives of that research.

For example, the relationship between objectives and methodology and staff organization has particularly important implications for project design. A manpower project that aims to compare the relative effectiveness of two different program elements may require a quasi-experimental research design.***

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* C. H. Weiss, Organization constraints on evaluation research. Bureau of Applied Social Research, Columbia University. Mimeographed paper, June 1971.

** J. A. Jones, op. cit.

*** Described in S. Isaac, and W. B. Michael, Handbook in research and and evaluation (Knapp, 1971), as "to approximate the conditions of the two experiments in a setting which does not allow the control and/or the manipulation of all relevant variables." (p. 26)

This kind of design may require that program and research functions be carried out by two separate staffs, in order to insure optimal implementation of both research and programmatic procedures.

Dick Bernheimer* apparently had a quasi-experimental model in mind for TEEM. He recently wrote the following after we discussed the implications of the TEEM staff organization.

> The evaluation (documentation) versus operations dichotomy is required in order to avoid compromising either function, e.g., if the evaluation staff is too involved in the operations of a project, persons reading the evaluation report may, and rightfully, feel there is <u>too</u> much personal interest in the project for the report to be purely objective.
>
> Rather, the authority and responsibility (for integrating operational and documentation requirements) should be vested in a strong program manager, to whom both evaluation staff and the project director and his staff report. This type of organization allows the maintenance of an untainted evaluation (because of the personal involvement of the evaluation staff) and operations of the project (because the operations staff will not be able to arbitrarily alter operations to affect performance since such actions will be reviewed at the higher, program manager level.)**

By contrast, HIRI's utilization consultants believed that they and TEEM staff members should have a more mutually involved relationship because they assumed that TEEM had (primarily) <u>developmental</u> objectives--that the primary purpose of the project was to experiment with the TEEM concept to determine whether and under what circumstances it worked best. Consequently, the consultants assumed that those responsible for documentation and evaluation would work closely with operating staff to help identify the interventions and methods that apparently were more and less effective in helping clients, in order to identify the best ways for implementing the TEEM concept. This is the model of <u>action research</u>.***

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* Manager of the Career Opportunities Development program of the California State Personnel Board, the program under whose aegis the TEEM project was carried out.

** Letter dated September 20, 1974, from Dick Bernheimer to Harvey Ross. For the complete letter, see Appendix A.

*** Isaac and Michael, op. cit., describe the objectives of action research as: "(developing) new skills or new approaches to solve problems with direct application to... working world settings. (The method is) flexible and adaptive, allowing changes during the trial period and sacrificing control in favor of responsiveness and on-the-spot experimentation and innovation." (p. 27)

The conflicts between the utilization consultants and the TEEM project staff stemmed from such differences in assumptions and objectives.* Similar conflicts often appear to arise within projects, among staff members and staff groups, particularly when they have different responsibilities (such as program versus research) and are required to pursue different activities.

Projects should attempt to uncover and resolve such issues early in their history so that participants can integrate their efforts toward reaching the goals of demonstration. A systems approach to planning can be particularly useful in arriving at such resolution, particularly when--as is typically the case with demonstration projects--reaching project objectives requires the interdependence and coordination of complex elements. In such projects, the interdependence of project goals, deployment of resources, staff activities and products implies that from the beginning planning should be systemic and should begin with an explicit agreement about project purpose: why it exists, what it is there to accomplish, what it is there to produce (an experimental result? information to guide a policy decision? utilizable materials for program operators?).

In designing a project, a system should build a basis for maintaining such important relationships as the following:

- ORD, in order to achieve its objectives--funding projects that are likely to result in findings both useful and used--needs to have a relationship with potential users to determine which projects should be funded, and a relationship with projects to determine whether they are, in fact, orienting their work to user needs.

- Projects, to achieve their objectives--producing utilizable findings--need a relationship with ORD, for continuing support of project activities, and a relationship with users to provide guidance so that utilizable findings ultimately are produced.

- Users, to achieve their objectives--access to useful information--need a relationship with ORD so that they can make known which information they need, and a relationship with projects so that projects will maintain an orientation to them.

* Although the effects of such differences had important consequences for the HIRI-TEEM relationship, they were unrecognized until the relationship's late stages (when remedies were difficult) or, indeed, until after the relationship had terminated (as in the above-described difference of opinion between Dick Bernheimer and the HIRI consultants).

The next section (Recommendations) suggests how a systems approach can be applied to a manpower demonstration project. It assumes an action research model that enables a project to experiment in order to improve its methods as it progresses. In our view, the action model is particularly well suited to demonstration projects (typically) intended to produce materials to facilitate utilization.

IV. RECOMMENDATIONS: A Systemic Organizational Model Designed to Facilitate Utilization

In this section, we are proposing a rather simple organizational model for organizing demonstration projects to maximize the utilization of project findings. For utilization to occur, a demonstration project needs to be responsive to the interests and needs of the audiences who are potential users of its findings. Responsiveness means that the project is designed to produce findings that have relevance to their needs for information. To be responsive, a project needs to be involved with representatives of such audiences beginning with the stage of project planning. Our experience with the Research Utilization Network (RUN)* supports this assertion: Projects that had strong and continuing ties to users produced materials that were better utilized than those produced by projects that did not.

A project designed to be responsive on a continuing basis to groups in its environment should be organized as an open system.** The open systems model organizes an enterprise to maintain responsiveness and interdependence with its environment. The model was first applied (organizationally) to industrial settings: Materials are imported from the environment across an organization's boundaries; the materials are transformed in a conversion process within the organization; the transformed materials are exported back into the environment; feedback from the exports or their impact influences the nature and flow of imports. In most organizations, top management regulates transactions across boundaries; responsibility for the conversion process is delegated to middle management. The model provides for organizing to maintain close interrelatedness with the environment on a continuing basis.

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*During our first project year.

**First described by A. K. Rice in The enterprise and its environment, London: Tavistock Publications, 1963, and elaborated by D. Katz and R. L. Kahn in The social psychology of organizations, New York: Wiley, 1966.

Translated into the terms of a typical manpower demonstration project, an open systems plan would deploy project staff, define their jobs and otherwise commit project resources to attain the following objectives:

1. The flow of clients and information into the project.

2. The transformation of the clients, in accordance with operations prescribed by project design, as they are carried out by the activities of project staff. (Typically, client transformations take place in the course of training, counseling, basic education and other support services. In some projects, employer transformations may occur in the form of changes in personnel practices, job restructuring, the development of training capabilities, supervisor training, the creation of career ladders and upgrading programs.)

3. The responsiveness of the project, on a continuing basis, to information that the project gathers about itself--about its internal processes and its consequences for clients, both during and after their participation in the project--and to the reaction of potential users to its developing findings.

4. Useful exports: information and findings about the project--the conditions and operations that brought about desirable client (and/or employer) changes--that can be utilized in other settings.

In a manpower project, an open systems organization can maximize responsiveness of the project to its environment (especially potential users) by:

- Inviting representatives of potential user audiences to respond to information from, and findings about, the project-in-process

- Reporting this feedback to a project management/planning group so that project operations and information collection and analysis can be modified to accommodate the interests and needs of those audiences

Representatives of user audiences can be involved with the project director and ORD during several stages of the project's course to good purpose:

1. During the project planning phase, to help influence the definition of project purpose in accordance with their needs. The purpose determines what questions the project will address; which information will

be collected and which analyses performed; which design will produce the desired information; and what staffing requirements will be required to implement the design.*

2. During implementation of the project, to:

   a. Recommend design changes as the project's experiences and findings accumulate. It is a common experience that projects identify important issues in the course of their implementation. Sharing a project's ongoing experience with potential users can help the project identify those events which have special importance and which are worthy of careful observation and documentation.

   b. Test the project's information output as potential findings emerge, and draft products. Thus, while the project is in process, it can be developing reports that are oriented to user needs in a process of successive iterations.

3. As the project analyzes information and produces findings, to inform the project management/planning group about the concerns and constraints of potential users that need to be addressed in the products, and to help plan a utilization strategy, including identification of and access to formal and informal channels of dissemination.

If ORD wishes to organize projects in the systemic manner just described, there is a role waiting to be played. Someone (perhaps a "project utilization consultant") needs to take responsibility for helping project directors

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* Although we believe that participation of ORD and potential users in planning is desirable, Dick Bernheimer disagrees, because "the participation of outside agencies in the initial development of each project could seriously hamper the development of innovative, unique projects...

"...ORD should continue to review project proposals for completeness, in terms of their needs, and to insure the approved project contains all of the desired elements. If ORD desires data in addition to that which would be collected according to the project proposal, ORD should add the component in advance of the project approval or be prepared to augment the project to meet the perceived evaluation and utilization needs costs. The wide spectrum of utilization aspects of a project are not the project director's primary concern or responsibility and should remain within the realm of DOL interests and responsibilities." (Bernheimer letter, September 20, 1974)

plan and maintain systemic relationships from their projects' planning stage through utilization.

Who can play that role? In some instances, project directors are alert to systemic issues associated with utilization and have themselves developed a utilization-oriented system. However, such project directors appear to be in the minority--partly because many project directors are not oriented to utilization as a goal and partly because project constraints have not permitted a significant project investment in utilization-oriented activities. Perhaps the ORD project monitor or a staff member from the Utilization Division or a private contractor can provide such services. In the remainder of this report, we will refer to that person as a "project utilization consultant" regardless of affiliation.

Some responsibilities for the role of project utilization consultant have been identified in the course of this grant:

1. Identifying potential user audiences. There may be a greater number of audiences than is immediately apparent. For example, potential audiences for the findings of the TEEM project included policy makers in the state administration; members of the state legislature; managers of government departments; middle managers and supervisors of government departments; line workers in government departments; ORD; the state personnel board; state, county and city executives; the state employment service; policy makers in the WIN program; TEEM project managers and personnel; TEEM project clients and potential clients. Someone needed to take responsibility for helping the project director and ORD identify the intended target user audiences from among this group.

2. Bringing representatives from target user groups into a systemic relationship with ORD and the project. This should be done during the project's planning stage if that relationship is to be productive and meaningful. Intended users must become involved with a project at the very beginning of planning if utilization concerns are to be given a high enough priority for the project to become committed to the activities that are necessary for successful utilization.

3. Binding users, ORD and the project together, by identifying congruent interests and developing the commitment of all parties to the activities that promote those interests. Although a project director, ORD and users ultimately have congruent goals--reached by carrying out demonstration projects where findings are useful and utilized--in the short run they may not perceive that congruence, and may not act on the basis of similar priorities.

The HIRI utilization consultants have identified several areas in which ORD, a demonstration project, and potential users may have congruent interests. A project utilization consultant can identify such areas and take leadership in developing commitment to working together to achieve congruent objectives.

1. ORD, the project and potential users all need a project final report. A project's needs for a final report and target audiences' needs for utilizable materials can be made congruent. For example, the HIRI consultants helped COD plan a final report containing materials that could be useful to three levels of government in potential user jurisdictions: a level directed at decision makers, describing in what ways using the COD strategy could help them address important political, social and legal issues; a set of materials directed at middle managers to provide an overall picture of the COD strategy in operation; a set of materials describing in detail the nuts and bolts of daily operation of a COD program.

2. The project needs an information and record-keeping system for collecting and analyzing data that will form the basis for its final report. During the project's planning stage, project staff, representatives of target audiences and ORD can create guidelines for a system that will both satisfy project needs and the needs of potential users for certain kinds of information.

3. Under some circumstances, a project may need training materials to train its own expanding staff. A project's needs for training materials is congruent with that of potential users. COD's needs for training materials, for example, was one area in which its current needs as an operating program coincided with the needs of potential users.

In this manner the project utilization consultant, if he identifies areas of congruence at the time of a project's formulation, can help bind together the different groups into one system, with analogous objectives and commitment to similar activities and priorities. Our experience demonstrated that attempting to establish congruence after a project is underway can be very difficult because of the tendency for priorities to develop in a divergent manner and for resources to be committed to those priorities, excluding the possibility for common commitment to the goals of utilization.

Clearly, developing a project organization that involves ORD, potential users and the project systemically would require the commitment of resources to the activities required by such relationships. Someone needs to assume leadership of the effort. Meetings take time and entail associated costs. Projects probably would be required to allocate more resources

to documentation and user-related activities than they now are able to do. Whether such additional expenditures are cost-effective in terms of achieving utilization likely can best be determined through a demonstration effort.

V. THE EVENTS OF PROJECT YEAR TWO

HIRI began its work with TEEM during the first project year. To provide as complete and coherent a picture as possible, the following account recapitulates the first months of our effort, although they already have been reported in our project's year-one report. The account is divided into three sections corresponding to the three phases of our relationship with TEEM: developing our relationship; implementing the plan; the course of HIRI-TEEM relations.

A. Developing Our Relationship

This first phase took place in late January and February of 1973. During this phase, HIRI and TEEM set objectives, agreed upon a work plan and negotiated a working agreement. (Earlier, in September 1972, Dick Bernheimer [director of COD, TEEM's parent project] asked Harvey Ross [HIRI's project director] to work with TEEM as soon as HIRI's work with COD was completed. ORD approved the request.)

HIRI's first meeting with Shirley Shaw, TEEM project director, and her associate Bill Blazek occurred on January 29 and 30, 1973. They requested help in creating a documentation and evaluation format for TEEM. In response, HIRI proposed a plan that would fulfill the needs of the TEEM project for an evaluation and information-collecting system and that also would serve to promote the utilization of the findings of the project. The plan grew out of HIRI's recent experiences with projects in the Research Utilization Network (summarized in our project year-one report: Appendix B).

1. Strategy and plan.

HIRI proposed to collaborate with TEEM in the following ways:

a. To develop, in collaboration with TEEM, a documentation format oriented to the information needs of the potential users of TEEM's findings. We would develop the format by identifying the important potential user audiences of those findings by consulting representatives of those audiences to determine which facts, analyses and evaluative dimensions were relevant and important from their points of view, and by choosing

categories for information collection and analytic procedures that would be responsive to those interests. Such a system would enable TEEM to document its processes and evaluate its outcomes, so that potential users would be able to decide whether a project like TEEM was appropriate to their needs; to train staff to operate a TEEM program; to assess and improve the operation of their TEEM program; to identify desirable results and measure to what extent their program achieved those results; to be accountable to superordinate political and funding bodies regarding the effectiveness of their program.

By designing a documentation system that would fulfill the above objectives, TEEM and HIRI could make that documentation meaningful: The categories and events to be documented would not be arbitrary or uncritically determined by academic and disciplinary traditions, but, rather, would become a first step in producing project findings that would be meaningful to potential users. In this manner, the documentation system itself would be a first step in promoting the utilization of the findings of TEEM (see Appendix C for a more detailed account of this rationale and plan).

b. To train TEEM's project staff and, if necessary, various participating agencies' staffs to use the documentation format. In particular, HIRI would train staff members to interview, record and report the required information.

c. To help TEEM plan the analyses of the data to make certain those analyses were oriented to the interests of potential users. We also planned to assist the TEEM staff in the organization and presentation of end-of-project information, in accordance with the needs of those groups.

d. Finally, to develop a utilization strategy for identifying and involving potential users, so that by the end of the TEEM project we would be ready to implement that strategy if TEEM had, in fact, demonstrated its feasibility for utilization under circumstances existing in other jurisdictions.

Soon after the first meeting between HIRI and TEEM, we agreed on a general policy covering our respective responsibilities and roles: HIRI would augment TEEM's internal capability in the areas of documentation and evaluation, assist in the design and development of the system and consult with TEEM during the data collection

process-reviewing, refining, improving and monitoring that process. TEEM would continue to assume the usual responsibilities of an operating R&D project: project planning and implementation; information collection, storage and analysis; writing its own project reports to ORD.

2. HIRI's roles

HIRI perceived itself with three interlocking roles in its working relationship with TEEM:

a. Consultant to TEEM: We would be responsive to TEEM's needs for assistance with its documentation system and thus would serve TEEM's agenda and priorities.

b. Research Utilization Specialist: In this role, HIRI had an agenda of its own, which was embodied in its charter from ORD. We would attempt to influence the TEEM project to produce utilizable materials. (Since we had no decision-making authority, we had recourse only to influence.)

c. Participant Observers: We would document our relationship with TEEM. HIRI would take note of and analyze the various problems and issues that might arise between an operating manpower project and research utilization specialists.

B. Implementing the Plan

Between February and November 1973, HIRI and TEEM were engaged in developing a documentation (record-keeping/evaluation) system. One HIRI staff member (Jack O'Toole) and one TEEM staff member (Bill Blazek) were assigned responsibility for developing the system. They interviewed representatives of TEEM's participating agencies at various line and staff organizational levels to determine their interests and needs for information about TEEM; developed approximately 200 analytic questions and concerns from 31 individual and group interviews; refined and consolidated those questions down to 37; identified (by polling respondents from participating agencies) those questions judged "essential"; and, ultimately, consolidated the list of questions to 18. These had been judged "necessary" by our representatives of potential user audiences and were deemed researchable by the TEEM staff during the life of the TEEM project. Appendix D contains a list of the questions and the data items associated with each of the questions.

Following completion of the draft guidelines, HIRI, at the request of the TEEM project director, began to convert those requirements into the actual forms, questionnaires, interview guides and detailed instructions for use by TEEM and agency participants in the field. The HIRI-TEEM relationship did not survive this phase; the relationship was discontinued because of conflict between the two projects.

C. The course of HIRI-TEEM relations

During the months of February through April 1973, our relationship developed cooperatively, very much as had been planned, despite the fact that TEEM as a project had begun to manifest operational difficulties (which will be summarized below).

Jack and Bill conducted a number of interviews in the field and were in the process of identifying the potentially important questions of interested user audiences.

We had several meetings with Shirley Shaw and Bill Blazek, and one with TEEM project staff during which we discussed the documentation needs of the TEEM project--in particular, needs for recording, frequently and systematically, what was happening in the project, what happened during the early phases of the project to lead up to the present, information about the experiences of trainees in their placements, etc. Recognizing that operational concerns were monopolizing the energies of the TEEM staff and were interfering with documentation activities, we offered to help them maintain their chronology of significant project events and assess what was being learned from those events that might be helpful to potential users. We suggested that we all meet on a weekly basis to review the events of the week in order to record what had been learned about making TEEM work as an operational project. TEEM did not appear to be interested in our overtures. However, it was during this period that TEEM redesigned its reporting format to ORD to include more detailed sections on events that had taken place, what had been learned from those events, and some analysis about what might have to be considered by future users of the TEEM model. This implied that our suggestions were having some impact. The chief of the Utilization Division considers that format to be a major contribution to utilizable reporting of E&D projects.

Jack, during his interviews of operating personnel in the field, had recorded their questions about TEEM, in particular their concerns about the project's procedures and their responsibilities. HIRI took note of these questions because (we assumed) they likely would be the concerns of the counterparts of these staff members in future user jurisdictions and would need to be answered in our utilization materials. We also passed these questions on to the TEEM staff because they needed to be addressed and answered in their operating handbook for agency staff.

During May, we became aware that TEEM was not so fully committed to implementing the original plan as they earlier had seemed to be. Bill was expressing increasing reluctance to interviewing agency personnel and going through the procedure as we had agreed. Bill felt that his initial reception by field personnel had been poor: They were too busy to participate in an interview, uninterested in the research component of the project, cynical about the ultimate use of the project's findings, and willing to participate only on a limited basis because they might be able to use TEEM clients as another source of free manpower. (However, Jack, who was visiting similar agencies, was reporting a friendly and cooperative reception.)

Between June and October 1973, difficulties inherent in the TEEM-HIRI relationship emerged. It became apparent that HIRI and TEEM had different agendas and different priorities: HIRI wanted to convince TEEM to commit a significant portion of its resources to documenting its experiences; TEEM's staff was absorbed in remedying its operational difficulties and had little time to spare. TEEM's field staff was concerned with the welfare of the project's clients and was not interested in documentation. More specifically, HIRI was trying to persuade Bill Blazek to invest more time in working with Jack to prepare the documentation format, and was trying to convince Shirley to arrange meetings with the TEEM field staff to get their participation in format development. Bill and Shirley were resisting these suggestions because it would take staff away from other project obligations to which they had assigned a higher priority. The differences in priorities began to be expressed in personal conflict. From June to October, as the conflict about priorities and procedures became more and more acute, HIRI requested a number of meetings to try to resolve these issues.

- HIRI wanted to resolve differences in agendas and priorities through more frequent discussion. TEEM, on the other hand,

resisted having more frequent meetings; they did not believe it necessary for us to meet more often with them in order to complete our work with the documentation formats.

- TEEM wanted HIRI to prepare documentation formats, but without the time-consuming participation of TEEM project staff or agency staff; HIRI wanted to work more closely with TEEM staff in order to understand their needs and perceptions with regard to the realities of the project, particularly the opportunities and constraints on documentation, and to elicit the willing cooperation of those who would be expected to record information by getting their participation in the planning of the formats.

- HIRI wanted to stress the demonstration objectives of the project--that is, the need to observe the implementation of the TEEM model in order to understand the factors related to its successes and failures and to document those factors; TEEM project staff perceived the project as if it were a manpower program, and resisted documentation as time-consuming and as detracting from their efforts to serve clients.

In October, a major disagreement occurred that could not be resolved and that led to HIRI's decision not to participate further in the project. Jack (in September) had prepared some draft structured-interview forms to be used by TEEM project staff when they interviewed participating agency staff and clients. Because TEEM had not arranged meetings between Jack and TEEM field staff, Jack had proceeded to develop these forms without their consultation. He hoped, however, to produce a final draft of the forms in the course of consultation with TEEM staff and (afterward) collaborative field testing to make final improvements. He submitted them to TEEM in September.

After some weeks of silence, TEEM informed Jack that they had proceeded to field test his materials without discussing them with him (as he had requested). They did so even though the TEEM field staff did not understand the purpose of the materials or how they were to be used, and were unprepared to try them out in the field. Each staff member had proceeded on his own and in a haphazard manner, destined to lead to failure. The TEEM staff characterized the field test as "disastrous."

After the field test, Bill began to restructure Jack's interview guides into a questionnaire with space for anecdotal information--a very

different kind of instrument from the one Jack intended to design--one which would yield different kinds of information. The TEEM field staff were pressing for a checklist with categorical answers they could check off. They believed that a checklist would be much easier to use with agency staff and clients. Certainly, a checklist might very well be easier to work with, but it could not produce the anecdotal and discursive material we felt the project needed to yield useful products.

At a meeting toward the end of October, Shirley asked HIRI to go over the draft questionnaire prepared by Bill, in order to help him construct a form that could be used by TEEM field staff. We declined to do so. First, the questionnaire could not provide much of the information needed by the project to document its experience meaningfully. Second, our experience with the project had clearly demonstrated the uselessness of developing instruments without the participation of those who would use them. Thus, we declined to endorse and take part in a procedure that we believed was destined to fail. We would not continue to provide consultation from a distance--"mail-order consultation." We would be available to discuss the issues and try to resolve the impasse. At this point, the relationship between the two projects terminated.

APPENDIX A

Letter from R. A. Bernheimer to H. L. Ross

STATE OF CALIFORNIA

RONALD REAGAN, Gover

CALIFORNIA STATE PERSONNEL BOARD
801 CAPITOL MALL • SACRAMENTO 95814

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RICHARD L. CAMILLI
Executive Officer

September 20, 1974

Mr. Harvey L. Ross
Human Interaction Research Institute
Kirkeby Center, Suite 1120
10889 Wilshire Boulevard
Los Angeles, CA 90024

This is in response to your request that I edit your "Final Report on Activities With the Transitional Employment Experimental Model" from two perspectives.

I have reviewed the report and, since most of the "fact and content" material is based on subjective, personal interpretations of events, any effort on my part to make corrections would not be a productive use of resources. The end product would merely express two points of view on specific events and "conflicts". This type of product would be of little use to anyone, particularly ORD.

However, I appreciate the opportunity to comment on the broader, more general recommendations as they relate to the organization, development, implementation, and operation of demonstration projects vs. on-going programs. In the following text, I have quoted each of your stated recommendations and placed my comments immediately following the respective quotes. Because many of your recommendations overlap, I have limited the comments following each recommendation to areas not covered by comments to preceding recommendations.

RECOMMENDATION

A project's goals should be clarified at the very first stages of planning and should involve the participation of all interested parties whose cooperation and synergistic activity are required for project success: ORD (its policy-making level), the project monitor, the Project Director, representatives of user audiences, the Utilization Division. They need to agree upon the desirable project goals and priorities: what it is supposed to produce, to whom and in what ways the product is supposed to be useful and what forms the product should take in order to do that job.

COMMENT

Although I concur with your general idea of early clarification of goals and objectives, the participation of all interested parties in the initial planning stages of each project is both infeasible and undesirable. ORD,

for instance, has limitations on its manpower resources and could not possibly participate in the initial development of every project proposal. Even if ORD and the other interested parties had the manpower available, the participation of such agencies in the initial development of each project could seriously hamper the development of innovative, unique projects due to the common influences (ORD and others) during the initial planning stages.

For these and other reasons, ORD should continue to review project proposals for completeness, in terms of their needs, and to ensure the approved project contains all of the desired elements. If ORD desires data in addition to that which would be collected according to the project proposal, ORD should add the component in advance of the project approval or be prepared to augment the project to meet the perceived evaluation and utilization needs-costs. The wide spectrum of utilization aspects of a project are not the project director's primary concern or responsibility and should remain within the realm of DOL interests and responsibilities.

RECOMMENDATION-

Initial planning should include planning staff organization to fulfill the purposes of the project. That organization should impose interdependence on those primarily responsible for documentation and evaluation and those who are primarily responsible for documentation. To the extent feasible, roles should be defined to include some of both kinds of activity; they should not be specialized along a documentation vs. operations dichotomy. The project should make certain that enough staff members are hired to fulfill both operational (service delivery) and documentation requirements. A demonstration project's staff organization can be designed, in this manner, in accordance with its goals. The design likely should be reviewed in the planning process with representatives of ORD, perhaps the project's monitor and a representative of the Utilization Division.

COMMENT

I agree, complete project planning requires the careful consideration of staffing needs, both in terms of required expertise and required manpower.

Although I feel that neither operations staff nor evaluation staff can work completely independent of the other, I do not feel authority, responsibility success, and roles should be defined in the suggested manner. The evaluation (documentation) vs. operations dichotomy is required in order to avoid compromising either function, e.g. if the evaluation staff is too involved in the operations of a project, persons reading the evaluation report may, and rightfully, feel there is too much personal interest in the project for the report to be purely objective.

Rather, the authority and responsibility should be vested in a strong program manager, to whom both evaluation staff and the project director and his staff report. This type of organization allows the maintenance of an

untainted evaluation (due to personal involvement of the evaluation staff) and operations of the project (because the operations staff will not be able to arbitrarily alter operations to affect performance because such actions will be reviewed at the higher, program manager level).

RECOMMENDATION

a. The early clarification of project objectives, products and organization should provide a Project Director with guidelines for choosing those staff members who can best plan and implement the project -- including individuals with special expertise (such as a research utilization specialist) who might be engaged on a part-time or intermittent basis.

b. Project staff members (especially those whose main background has been in service delivery) should be provided thorough orientation (1) to the differences between operating manpower programs and R&D projects, and (2) to the particular goals of their project. All should be able to answer the question, "Why are we doing this project?"

c. Using the project's goals and projected products as guidelines, the project staff should participate in planning project implementation and the documentation system. A research utilization specialist might be engaged as a consultant during this step; Project Director and staff members can learn what he has to offer and how to use his expertise.

d. Project management should arrange training in necessary skills--interviewing, recording, etc.--for project staff members who have responsibilities for information collecting and processing. Training can take place, at least partly, during the field tests of components of the project's documentation system. Depending upon the experience and expertise represented on project staff, project management may need to engage consultants to provide training. If the project engages a research utilization specialist, he should be involved in training, because of the interest he has in the products that ultimately will be derived from the project's documentation system.

COMMENT

a. Concur. I feel this point is covered in your first two recommendations.

b. Although I agree that project staff should receive thorough orientation to the project, I don't see the differences you apparently see between "operating manpower programs" and "R&D projects". I realize the reasons both exist are different; one is to provide a service, the other is to demonstrate the feasibility of an approach or method for providing a service. However, both require planning, organization, implementation, monitoring, etc. for them to operate properly. The demonstration projects should be operated in a milieu as near the real world as possible because a demonstration project conducted in a sterile, laboratory setting proves little other than the methods and approaches are effective in the sterile environment. This approach to demonstration would not be effective since it is difficult enough to "sell" methods proven to be effective in the "real" world, without trying to sell a method tested only under laboratory conditions.

c. I concur that project staff should have an active role in project planning, when appropriate. However, the services of any "expert" consultant should only be utilized after it has been determined that the particular expertise is not available within the organization.

d. If the staff selection process is performed as suggested, the training needs should be held to a minimum. However, if training is required, practical limitations usually require that it be provided during the early stages of the approved project and on an ongoing basis. Should ORD desire training be completed prior to the implementation of the operational phase of a project, they will have to be prepared to add this requirement to the contract and extend the grant period to accommodate this requirement.

RECOMMENDATION

A research utilization specialist should be involved in the development of the documentation system of a demonstration project. He should monitor its implementation to make certain that the information being collected is suitable and sufficient for products that will be oriented to user needs.

COMMENT

The major concern of this recommendation, that appropriate information is being collected, is covered in your first recommendation. If the steps in your first recommendation are taken, the documentation needs will be much easier to identify, if not self-evident. If a "research utilization specialist" is to be used to develop the documentation system, he must be oriented to the project goals and objectives because these should determine what data is collected and what form the final product from the documentation system takes. Also, in terms of monitoring, the information being collected must have the contents necessary to be analyzed so a determination can be made as to whether the project is progressing as scheduled and in the proper direction.

RECOMMENDATION

A research utilization specialist should be involved in the planning of a demonstration project at the earliest possible moment, to participate in clarifying project goals and to negotiate an agreement with the project director and project monitor about the expectations each will have of the other in working toward those goals.

COMMENT

This is the role which the program manager should assume, since he would be closest to the policy levels and be most aware of the overall goals and objectives of his agency. If the project planning is done as carefully as you suggest, the expectations of each person or unit involved in the project should be clear.

RECOMMENDATION

We are recommending that ORD participate in project planning by helping to clarify project purpose--why it is being done. Customarily, ORD has not intervened very actively in this area, perhaps hesitant to encroach upon the autonomy of researchers. We propose, however, that this responsibility should not be finessed to others. Researchers often do not feel much responsibility to the potential users of their project findings. ORD does feel responsible for doing projects which produce findings that will be useful and used. Because ORD has the authority to assume leadership in reaching consensus about a project's purpose--what it should produce and for whom--we feel that it should do so.

COMMENT

Concur. However, I feel the authority should not be used to the extent that researchers are suppressed. This would endanger the individuality of separate research projects and, possibly, the overall usefulness of any one of the projects.

I sincerely hope the above comments will assist you in concluding your efforts in finalizing the report to ORD.

Sincerely,

R. A. BERNHEIMER, Manager
Public Employment and Affirmative
Action Programs

RAB:smh
cc: Mr. Richard A. McAllister

APPENDIX B

Excerpt from Project Year One Report

Observations and Emerging Issues *

The following observations are derived from the particular experiences we have had with RUN, COD and TEEM and that have been reported above. They are stated here as general impressions with implications for utilization and for the work and role of a Research Utilization Specialist (RUS). In their generalized form, these statements may be viewed as working hypotheses which invite further testing, refinement, and clarification wherever possible during the second year of this project:

1. Project documentation that is oriented as much as possible to meet the needs of potential user audiences tends to facilitate utilization of the "products" of such projects. To illustrate, two of the RUN products already being widely utilized, as described during the January 1973 RUN Demonstration Fair (see HIRI's evaluation of that Fair, Appendix D), were developed in the course of continuing dialogue between project directors and potential users. These products provided users with the following:

   a. An information package addressed to user needs for information, establishing the product's credibility, utility, resource requirements and costs, and deliberately designed to help user-policymakers decide whether the product would be a good thing from a cost-benefit perspective;

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* from HIRI's project-year-one report, pp 56-59.

b. A staff training package, enabling management in the potential user organization to feel confident that its own personnel could learn to implement the product;

c. An assessment procedure, so that a potential user organization sees that it will be able to evaluate what it is achieving with the product, enabling it to justify its continuing use; and

d. The availability of project personnel to provide technical assistance to user organizations, to address special problems that might develop in the course of implementation in the user's own environment.

Being able to provide these components depends not only on early and continuing contact with potential users but on a project's ability to document and evaluate its own experience in terms that are relevant to user needs and interests.

2. The documentation and evaluation needs of an operating project and the needs of the ultimate users of its findings probably are congruent, and in many instances may be identical. Based essentially on our experience to date, following are some specific areas where there is considerable congruence between the information needs of an operating project and those of its potential audiences and users:

a. Both require a means for providing information to the PD regarding the project's performance. The PD needs to know how well he is

doing (and did) in meeting his project objectives. The potential user also needs to know how well the project can meet his objectives, anticipated cost-benefit ratios, and other important and related operating considerations.

b. Both require a means for collecting information regarding operations that can be used by staff to improve their performance. A potential user needs a procedure for providing feedback to his staff about important components of their efforts as much as does an E&D or R&D project staff.

c. The project (sometimes) needs a means for collecting information that can be used to develop training materials for new project staff. A potential user needs those same training materials to train his own staff.

d. Both can use a method for recording operational problems experienced during the ongoing project and, particularly, how such problems were resolved.

e. Both require a means for collecting information to address the reporting requirements of funding agencies. The format developed by a project to report to ORD can be adopted to provide a basis for program accountability.

APPENDIX C

Memo from H. Ross to TEEM Staff re
Promoting Utilization of Project Findings

HUMAN INTERACTION RESEARCH INSTITUTE

TO: Shirley Shaw and TEEM Team

DATE: February 13, 1973

FROM: Harvey Ross

RE: AN INFORMATION/EVALUATION FORMAT FOR TEEM THAT SHOULD FACILITATE ITS UTILIZATION BY OTHER JURISDICTIONS

The changes in plan about our meeting with the DOL contingent resulted in my being unprepared to give you this memo in time for it to be integrated into your presentation. However, I offer it now with the hope that it will nevertheless have some usefulness. It contains my statement of the rationale for the procedure we have been discussing and a rough plan for proceeding.

A. Rationale

Traditionally, reports about experimental manpower projects primarily are written from the perspective of the projects' operators and are addressed to funding agencies. That is, the issues discussed largely are delineated and circumscribed by the interests of those groups. In turn, and to the extent to which those groups are or feel accountable to other audiences (agency superiors, legislators, other colleagues and professionals) reports also are directed to the further interests of those other audiences.

When the principal users of information developed by a project are the groups designated above and when its report is responsive to their interests, it is appropriately focused. However, when the principal users of a project's information are not those above groups, but its report nevertheless is directed to their interests, it likely will not also be relevant to the interests of the principal users.

This kind of disparity may especially be characteristic of the reports of manpower projects aimed at developing new practices and programs--that is, projects whose products are meant to be utilized. If such reports are written only to respond to the needs of project operators and their funding agencies, they risk ignoring needs for information of their principal audience, the potential users. Potential users are likely

(for example) to need a report that establishes the product's credibility, specifies the resources required for its utilization, describes personnel needed for its implementation, details procedures to be used by those personnel (sufficiently to be used for training purposes) and provides an evaluation format so that the user can assess his own implementation efforts and report to superordinate bodies (his sources of funding).

Unless a project addresses itself to those needs from its planning stage, that is, unless the project builds in a relevant information and evaluation system, it likely will not be able to produce a report that is responsive to all of its important audiences. As a result, the likelihood of the project's product being utilized is diminished.

Since TEEM's objectives include ultimate utilization, we have been planning an information collection/evaluation format to address the interests of a number of audiences, including potential users.

B. Our Method

At the present time we cannot say much about the contents of our information/evaluation component. Our aim is to satisfy the needs of a number of audiences for information, especially audiences connected with utilization. We do not yet know what those needs are. We are proposing a method that should enable us to identify those needs so that information collection and analysis will correspond to them. Basically, we will attempt to identify the relevant information categories empirically, in the course of discussions with representatives from our several audiences. The following table identifies what we now believe are our major audiences and lists our speculations about their different general areas of interest.

Audience	Presumed General Area of Interest
I. Trainee	Will I like it? Will I be hired permanently? What can I do to increase my chances for success?
II. Host Agency and Future Host Agencies - director - personnel officer - line staff - support (admin) staff - COD coordinator	Will the time and trouble of training be offset by some productive work? Will the majority of enrollees become productive? As productive as regular employees? What can this agency do to enhance productivity? What can this agency do to eliminate problems? Will regular employees resent TEEM enrollees? If so, how can this resentment best be handled? Will TEEM experience be useful in other manpower programs?

Audience		Presumed General Area of Interest
III.	Receiving Agency & Future Receiving Agencies from other jurisdictions - director - personnel officer - line staff - support (admin) staff - COD coordinator	Will the host agency adequately screen and train enrollees? How much training will the receiving agency have to do? Will this result in productive employees? Is there a procedure to enhance TEEM enrollee productivity? Will this help agency's affirmative action commitment? How can personnel problems best be handled?
IV.	HRD/WIN (California and other State jurisdictions)	Is TEEM a good alternative for WIN enrollees? Is there a type of WIN client more likely to benefit from TEEM than some other manpower project? How would you select such an individual? Will TEEM increase understanding of how to help disadvantaged clients.
V.	State Personnel Board - executive staff - exam classification and pay units - COD unit - TEEM - coordinator	Will TEEM change fundamental personnel policies? If so, which ones? How can personnel policies be written to enhance success of TEEM and other manpower programs while maintaining a true merit system?
VI.	Local, State, and Federal legislators	Will the savings in welfare be at least equal to the costs of TEEM?
VII.	Department of Labor	Was TEEM successful? Are there better manpower alternatives?

More specifically, our procedure to identify the actual interests of the above audiences involves the following steps:

1. Discuss the information needs of the audiences with representatives from those audiences. The underlying question is, "What do you want/need to know about TEEM in order to be able to consider utilizing it? In order to implement it?" When necessary, use the lists of presumed interests to stimulate discussion.

2. Draw up a list of the questions articulated and implied during the above discussions. Clarify the questions, consolidate the list to reduce overlap and redundancy.

   For each question, designate some alternative kinds of relevant data that might be used to produce satisfactory answers for each audience.

3. Return to the representatives of the different audiences with the questions and the suggestions regarding relevant data. Discuss, further, their interests and needs so as to identify for each audience the questions the project should address and the kinds of data most relevant to each question.

   We might proceed by asking the representatives of the different audiences to rate each question in terms of four categories: Absolutely necessary; highly desirable; would be nice to have; not relevant.

4. Draw up a final list of questions and the relevant categories of data in accordance with the results of these ratings.

5. Draft the project's information collection and evaluation format.

6. Designate the information collection responsibilities of project personnel and design information collection formats for the use of project personnel with different responsibilities.

We have no way of estimating how many questions will be generated by this procedure. To our knowledge, this kind of procedure never has been attempted before. We speculate (and hope) that the needs of different audiences will arrange themselves into overlapping configurations so that a relatively limited number of questions (information "units") can be combined in different ways to meet the different needs of the audiences.

An additional benefit from proceeding in this manner is the creation of an evaluation format for the TEEM project that can be made relevant to the reporting and accountability needs of potential users. Not only would

such a format make TEEM more attractive to potential users but, if widespread utilization were achieved, it would provide a vehicle for the collection of uniform data that would permit program evaluation on a national scale.

We propose to explore the feasibility of proceeding in the above manner by working with representatives of a Host Agency (Santa Clara County government). That experience with representatives of a number of audiences within the Host Agency should permit an estimate of the time and resources required to go through the exercise with all of the listed audiences.

Proceeding in this manner not only should produce the most relevant possible information and evaluation system for TEEM, but, in addition, the early involvement of the project's audiences, especially the potential users should facilitate utilization and ultimately prove to be worth the effort.

/jy

APPENDIX D

TEEM Project Information/Evaluation System
(Analytic Worksheet)

TEEM PROJECT INFORMATION/EVALUATION SYSTEM
(ANALYTIC WORKSHEET)

QUESTION	INFORMATION BIT
1. For clients with what type of personal characteristics is TEEM effective and ineffective? For those who a) Have participated in other manpower programs? b) Are physically handicapped? c) Are Welfare recipients? d) Other?	1. Educational background of TEEM employee. Past manpower program experience Job history Civil service examination results Drop out/termination rate Reasons for drop-out/terminations Job assignment history in HA/RA Transition dates from HA to RA Name and location of RA Nature of permanent employment for TEEM in state service after transition Nature of permanent employment after transition from TEEM
2. How long a period of time should TEEM employees spend in a Host agency?	2. Transition dates from HA to RA TEEM employee attitude about length of stay in HA RA supervisor attitude about length of stay in HA
3. In TEEM what effect will the lack of specific outstation work assignments at initial hiring in host agencies have on employees?	3. Attitude of TEEM employee towards non-specific outstation assignment

TEEM PROJECT INFORMATION/EVALUATION SYSTEM
(ANALYTIC WORKSHEET)

QUESTION	INFORMATION BIT
4. What effect did the TEEM concept of paid employment during training at the receiving agency have upon employee attitudes? On employer's willingness to hire?	4. TEEM employee attitude about 2 step hiring and paid employment at HA TEEM Employee Counselor attitude about 2 step hiring and paid employment at HA
5. Will TEEM employees compare favorably with regular civil service employees in receiving agencies in terms of attendance, job skills development, and production work standards? In comparison with other non-TEEM disadvantaged employees at the job entry level?	5. TEEM employee performance rating TEEM Employee attendance TEEM Employee production level TEEM Employee job skill development Comparable data for C. S. employees Comparable data for non-TEEM WIN Clients
6. How should TEEM applicants for local jurisdictions be selected for participation in TEEM?	6. Nature of permanent employment for TEEM state service after transition Description from Local Agencies about how selection process was accomplished Nature of permanent employment after transition from TEEM
7. How much time will regular staff personnel in host agencies need to spend counseling and supervising TEEM employees?	7. Supervisor's time in counseling Supervisor's time in supervising

TEEM PROJECT INFORMATION/EVALUATION SYSTEM
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QUESTION	INFORMATION BIT
8. What is the most effective way to train TEEM employees to take civil service examinations?	8. Percentage of TEEM employees who passed C. S. exams while at RA TEEM Employee critique of training for C. S. exams
9. What differences exist among host agencies, among receiving agencies, and between host and receiving agencies in terms of a) Staff commitment and involvement with TEEM and TEEM employees. b) Success and failure with the TEEM Project. c) The time cost of management, supervision, training, counseling and related support services.	9. Supervisor's time in counseling Supervisor's time in supervising Supervisor's time in orienting Management support to reduce caseloads for HA counselors with TEEM employees Additional staff assistance to enhance TEEM Incentive for supervisors or staff to help TEEM succeed Reduced caseload productivity with non-TEEM clients Cancellation of appointments with non-TEEM clients Types of occupational opportunities available at RA Nature and scope or orientation and OJT at RA TEEM employee and TEEM Coordinator evaluations of TEEM employee visit and observation program at RA during HA assignment

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QUESTION	INFORMATION BIT
10. In TEEM what effect will the lack of specific outstation work assignments at initial hiring in Host Agencies have on the Agency?	10. Attitude of TEEM employee towards non-specific outstation assignment
11. What effect did the TEEM concept of paid employment during training at the receiving agency have on employee attitudes? On employer's willingness to hire?	11. TEEM employee attitude about 2 step hiring and paid employment at HA TEEM employee counselor attitude about 2 step hiring and paid employment at HA TEEM employee (RA) supervisor attitude about 2 step hiring and paid employment at HA
12. What benefits will accrue to the Host Agencies and the Receiving Agencies as a result of TEEM participation?	12. Benefits to HA/RA Increase or decrease in agency work performance because of TEEM Improved HA services to clients because of TEEM employees Improved HA staff expertise in working with disadvantaged clients Effect on affirmative action programs
13. What should be included in a TEEM orientation/training package for regular Civil Service employees? (Will the TEEM employee create negative feelings among regular Civil Service employees?)	13. Recommendations from regular C.S. employees about orientation for non-TEEM employees Recommendations from supervisors about orientation for non-TEEM employees

TEEM PROJECT INFORMATION/EVALUATION SYSTEM
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QUESTION	INFORMATION BIT
14. Were there any observable differences in overall work performance between TEEM Aides and TEEM Project Assistants? (Were any problems encountered by TEEM employees or agencies as a result of the necessity to hire some qualified TEEM Project Assistants for TEEM Aid openings?)	14. TEEM employee performance rating TEEM employee production level
15. Did TEEM Aid and Assistant classifications allow the trainee the flexibility needed to find a permanent position appropriate to his skills potential, and interest?	15. The number of different class functions which utilized TEEM employees as new hires
16. Will Welfare savings be greater than the costs of TEEM?	16. Welfare cost per Employee TEEM cost per Employee
17. Are TEEM Aid and Assistant salary levels sufficiently higher than welfare payments to create an incentive to work?	17. Amount of TEEM employees previous welfare grant Present TEEM salary Employee's personal expenses related to TEEM over allowances Employee's statements about adequacy of salary over welfare
18. Is the TEEM consortium concept viable? How effective was it?	18. Rating by consortium members